

# SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

## ADMINISTRATIVE INSTRUCTIONS

### REFERENCES:

Office of the Secretary of Defense (OSD)/Defense Agency policies are contained in OSD SES Performance Planning and Evaluation Handbook, Chapter 4; OSD Performance Review Board, Chapter 5; Disciplinary Actions and Removals, Chapter 9; and Recertification, Chapter 11.

### PART A - IDENTIFICATION AND ADMINISTRATIVE DATA

(Page 1, Blocks 1 through 7):

Identification of pertinent information about the SES member being rated.

### PART B:

#### SECTION I - CRITICAL ELEMENTS AND PERFORMANCE STANDARDS (Page 2):

Critical elements include major responsibilities which should be broad in scope and clearly distinguishable. Each critical element must be supported by one or more performance standards which state what is expected at the fully successful performance level. Standards must be as specific as possible so that expectations are clear, i.e., level of quality, time frame, etc. Specific guidance is contained in the OSD SES Handbook, Chapter 4. Standards are on no more than one page, in no smaller than 12 point/10 pitch type.

#### SECTION II - EXECUTIVE/SUPERVISORY ACKNOWLEDGMENT OF ELEMENTS/STANDARDS (Page 1, Blocks 8.a. through 9.c.)

Critical elements and performance standards on Page 2 of this document are the result of a thorough review of the current position description and any oral or written input from the employee. The signatures acknowledge an understanding of the critical elements and standards, and are to be completed at the beginning of the rating period.

#### RATING OF ELEMENTS (Page 2, Section I)

Each critical element is rated at one of three levels: Fully successful (F); Minimally satisfactory (M); or Unsatisfactory (U).

These are defined as follows:

(F) Fully successful: Consistently meets or exceeds the level described in the performance standards; quality/quantity of accomplishments generally at the expected level.

(M) Minimally satisfactory: Work produced marginally meets the expected quantity, quality, or deadlines established for fully successful level. Performance on this critical element needs improvement to achieve the fully successful level. This may be evidenced by the need for close supervision, review, discussion, and correction of work products.

(U) Unsatisfactory: Performance fails to meet standard for fully successful, or minimally satisfactory.

### PART C:

#### SECTION I - ACCOMPLISHMENTS (Pages 3 and 4, or two pages on plain bond paper)

Provide accomplishments against each critical element/performance standards, which are considered by the rating official, higher level reviewer, if requested, Performance Review Board (PRB), and deciding official. There is no page limit in the event of an initial rating of less than fully successful.

#### SECTION II - COMPONENT COMMENTS (Optional)

(Page 5):

If the SES member is recommended for a performance award (bonus), this section should include a supporting narrative. The narrative should focus on the significance of the executive's accomplishments relative to the following general criteria:

- Achievements: Significance to the DoD mission; cost efficiency; innovative approaches, techniques or methods; and
- Leadership: Leading cross-organizational groups to successful outcomes; human resource management; and achievement of equal opportunity goals.

#### SECTION III - INITIAL ANNUAL RATING (Page 1, Blocks 10.a. through 10.d.):

Supervisor's rating (F, M, or U), signature and date.  
F - Fully successful: Meets, or exceeds, all critical elements.  
M - Minimally satisfactory: At least one critical element rated as "minimally satisfactory".  
U - Unsatisfactory: At least one critical element rated as "unsatisfactory".

#### PERFORMANCE AWARD (BONUS) RECOMMENDATION

(Page 1, Blocks 11.a. through 11.d.):

Component's recommendation, signature and date.  
Optional unless recommended for a bonus.

#### PART D - SES MEMBER ACKNOWLEDGMENT OF EVALUATION (Page 1, Blocks 12.a. and 12.b.):

Signature acknowledges that the SES member is aware of and has been provided a copy of this evaluation, and does not constitute agreement or disagreement with the evaluation. In the event of a less than fully successful initial rating, if the SES member desires to provide a written response for review by a **higher level reviewing official**, he/she must put an "X" in block **12.c.**, and provide a written response within 7 calendar days of receipt of this initial rating.

#### PART E - PERFORMANCE REVIEW BOARD'S (PRB's) RECOMMENDATION (Page 1):

The PRB recommended rating of F, M, or U (Block 13). The PRB recommended rating of F, M, or U, is defined in C.III. above.

#### PART F - FINAL RATING AND PERFORMANCE AWARD (BONUS) (Page 1):

The final annual rating (Block 14.a.), and approved bonus amount (Block 14.b.), as determined by the deciding official. Final rating of F, M, or U, is defined in C. III. above. The signature of the deciding official appears in block 14.c., and the signature date in block 14.d.

# SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

*(Reference OSD Handbook, DoD 1402.3H, Chapters 4, 5, and 9)*

## PART A - IDENTIFICATION AND ADMINISTRATIVE DATA

<b>1. NAME OF MEMBER</b> <i>(Last, First, Middle Initial)</i>		<b>2. POSITION TITLE</b>		<b>3. ORGANIZATION</b>		
<b>4. PAY LEVEL</b>  ES -	<b>5. RATING PERIOD</b> <i>(YYYYMMDD)</i>		<b>6. APPRAISAL TYPE</b> <i>(X one)</i>		<b>7. SES APPOINTMENT TYPE</b> <i>(X one)</i>	
	a. FROM	b. TO				

## PART B - SECTION II - CRITICAL ELEMENTS AND PERFORMANCE STANDARDS

*(See Page 2 for Section I)*

The signatures acknowledge an understanding of the critical elements and standards.

<b>8.a. SIGNATURE OF SES MEMBER</b>	<b>b. TYPED NAME</b> <i>(Last, First, Middle Initial)</i>	<b>c. DATE</b>
<b>9.a. SIGNATURE OF RATER</b>	<b>b. TYPED NAME</b> <i>(Last, First, Middle Initial)</i>	<b>c. DATE</b>

## PART C - SECTION III - INITIAL RATING AND BONUS RECOMMENDATIONS

*(Section I, Pages 3 and 4; Section II, Page 5)*

<b>10.a. RATING</b> <i>(Enter appropriate code)</i>	<b>b. SIGNATURE OF RATING OFFICIAL</b>	<b>c. TYPED NAME</b> <i>(Last, First, Middle Initial)</i>	<b>d. DATE</b>
<b>11.a. BONUS RECOMMENDATION</b> <i>(X if Yes)</i>	<b>b. SIGNATURE OF OSD COMPONENT HEAD OR APPROPRIATE DEFENSE AGENCY OFFICIAL</b> <i>(Optional unless bonus is recommended)</i>	<b>c. TYPED NAME</b> <i>(Last, First, Middle Initial)</i>	<b>d. DATE</b>

## PART D - SES MEMBER ACKNOWLEDGEMENT OF EVALUATION

Signature acknowledges that SES Member is aware of and has been provided a copy of this evaluation, and does not constitute agreement or disagreement with the evaluation.

<b>12.a. SIGNATURE OF SES MEMBER</b>	<b>b. DATE</b>
<b>c. I WILL PROVIDE WRITTEN RESPONSE FOR REVIEW BY A HIGHER OFFICIAL WITHIN 7 DAYS OF INITIAL RATING.</b> <i>(X if applicable)</i>	

## PART E - PERFORMANCE REVIEW BOARD'S RECOMMENDATION

<b>13. RATING</b> <i>(Enter appropriate code)</i>
F - Fully Successful      M - Minimally Satisfactory      U - Unsatisfactory

## PART F - FINAL RATING AND PERFORMANCE AWARD (BONUS)

<b>14.a. RATING</b> <i>(Enter appropriate code)</i>	<b>b. BONUS AMOUNT APPROVED</b>
F - Fully Successful      M - Minimally Satisfactory      U - Unsatisfactory	
<b>c. SIGNATURE OF DECIDING OFFICIAL</b>	<b>d. DATE</b>

**SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION**

**PART B - SECTION I - CRITICAL ELEMENTS/PERFORMANCE STANDARDS AND INITIAL RATING**

*(Limited to one page, 12 point/10 pitch type)*

Critical elements cover major areas of responsibilities, and should be broad in scope. Each critical element must be supported by at least one standard, written at the fully successful level. Specific performance standards denote a clear level of expectations, i.e., quality level, time frame, etc. (OSD SES Handbook, Chapter 4.)

The supervisor provides an initial rating against each element: (F) Fully Successful: All critical elements rated as "fully successful"; (M) Minimally Satisfactory: At least one critical element rated as "minimally satisfactory"; or (U) Unsatisfactory: At least one critical element rated as "unsatisfactory".

<b>ELEMENT RATING</b> <i>(Enter F, M, or U)</i>
--

**SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION**

**PART C - SECTION I - ACCOMPLISHMENTS**

*(Pages 3 and 4, no smaller than 12 point/10 pitch type. Plain bond paper may be substituted for these pages.)*

Provide accomplishments against each critical element/performance standards.

**SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION**

**PART C - SECTION I - ACCOMPLISHMENTS** *(Continued)*

*(Pages 3 and 4, no smaller than 12 point/10 pitch type. Plain bond paper may be substituted for these pages.)*

Provide accomplishments against each critical element/performance standards.

**SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION**

**PART C - SECTION II - COMPONENT COMMENTS (OPTIONAL)**

*(Page 5, no smaller than 12 point/10 pitch type. Plain bond paper may be substituted for this page.)*

If the SES member is recommended for a performance award (bonus), this section should include a supporting narrative. The narrative should focus on the significance of the executive's accomplishments relative to the following general criteria:

- a. Achievements: Significance to DoD mission; cost efficiency; innovative approaches, techniques or methods; and
- b. Leadership: Leading cross-organizational groups to successful outcomes; human resource management; and achievement of equal opportunity goals.